

PATENT

Attorney Docket No. UM-03662

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JLW

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Marc Peters-Golden *et al.*

Serial No.: 09/291,656

Filed: 03/03/1999

Entitled:

Administration Of Products Of The 5-Lipoxygenase Metabolic Pathway To Enhance Antimicrobial Defense

Group No.: 1653

Examiner: K. Carlson

## AMENDMENT TRANSMITTAL

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BOARD OF PATENT APPEALS  
AND INTERFERENCESCommissioner for Patents  
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Alexandria, VA 22313-1450

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Dated: March 23, 2005

By:

Traci E. Light

Sir or Madam:

Transmitted herewith is a (re-amended) Appellants Brief in Response to the Notice of Non-Compliance to 37 CFR 1.192(c) mailed **February 18, 2005** and is in furtherance of the Notice of Appeal mailed on August 23, 2004, for this application. Also attached is a petition for a one month extension of time and a check in the amount of **\$60.00** to cover the cost of said petition for extension of time.

The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment to Deposit Account No. **08-1290**. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Dated: March 23, 2005

By:

Peter G. Carroll  
Registration No. 32,837MEDLEN & CARROLL, LLP  
101 Howard Street, Suite 350  
San Francisco, California 94105  
617/984.0616OIP/E/JCWS  
MAR 30 2005  
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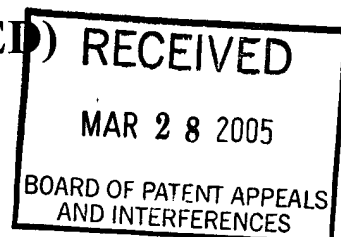
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Attorney Docket No. **UM-03662**

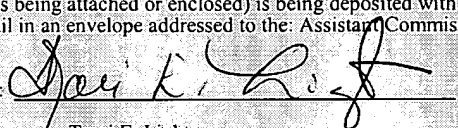
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: **Marc Peters-Golden *et. al***  
Serial No.: **09/291,656**  
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Entitled: **Administration Of Products Of The 5-Lipoxygenase Metabolic Pathway To Enhance Antimicrobial Defense**  
Group No.: **1653**  
Examiner: **Carlson, K.**

**APPELLANTS BRIEF (RE-AMENDED)**  
**APPEAL NO.:**

**ATTENTION: Board of Patent Appeals and Interferences**  
Commissioner for Patents and Trademarks  
Washington, D.C. 20231



<p align="center"><b>CERTIFICATE OF MAILING UNDER 37 CFR § 1.8(a)</b></p> <p>I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner of Patents, Washington, D.C. 20231, on March 23, 2005.</p> <p align="right">By:  Traci E. Light</p>
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Sir/Madam:

This Amended Brief is in response to the Notice Of Non-Compliance to 37 CFR 1.192(c) mailed February 18, 2005 and is in furtherance of the Notice of Appeal mailed on August 23, 2004. After consultation with the Examiner's Supervisor, Section III was amended to provide only the claims and their present procedural status (*i.e.*, as described in 37 CFR 1.192(c)(3)) and Section VI was amended to remove language more appropriate for Section VIII (Argument).

A Petition For A One Month Extension Of Time is attached hereto. The fees required under § 1.17(c) are dealt with in the accompanying TRANSMITTAL OF APPEAL BRIEF.

**This Brief is transmitted in triplicate. [37 CFR § 1.192(a).]**

This Brief contains these items under the following headings and in the order set forth below [37 CFR § 1.192(c)]:

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**I. REAL PARTY IN INTEREST**

The real party in interest is the Regents of the University Of Michigan, 3003 South State Street, Ann Arbor, MI 48109-1280.

**II. RELATED APPEALS AND INTERFERENCES**

There are no related applications pending appeal.

**III. STATUS OF CLAIMS**

1-21. (Canceled)

22. (Appealed) A solution for the treatment of a microbial infection, said solution comprising a sterile liquid vehicle, an antibiotic and a leukotriene dissolved in said sterile liquid vehicle, wherein said solution is an aerosol.

23. (Appealed) The solution of Claim 22, wherein said leukotriene is leukotriene B<sub>4</sub>.

24. (Appealed) The solution of Claim 22, wherein said leukotriene is a cysteinyl leukotriene.

25. (Appealed) The solution of Claim 24, wherein said cysteinyl leukotriene is selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, and leukotriene E<sub>4</sub>.

26. (Canceled)

27. (Appealed) The solution of Claim 22, wherein said microbial infection comprises *Klebsiella pneumoniae* infection.

28. (Appealed) A solution for the treatment of a microbial infection, said solution comprising a sterile liquid vehicle, an antibiotic and a leukotriene dissolved in said sterile liquid vehicle, wherein said solution is in an intratracheal instillation device, said instillation device is selected from the group consisting of an endotracheal tube and a bronchoscope.
29. (Appealed) The solution of Claim 28, wherein said leukotriene is leukotriene B<sub>4</sub>.
30. (Appealed) The solution of Claim 28, wherein said leukotriene is a cysteinyl leukotriene.
31. (Appealed) The solution of Claim 28, wherein said cysteinyl leukotriene is selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, and leukotriene E<sub>4</sub>.
32. (Appealed) The solution of Claim 28, wherein said microbial infection comprises *Klebsiella pneumoniae* infection.
33. (Appealed) A composition for the treatment of a microbial infection comprising, a sterile liquid vehicle, an antibiotic and a leukotriene dissolved in said sterile liquid vehicle, wherein said solution is contained within a nebulizer.
34. (Appealed) The composition of Claim 33, wherein said leukotriene is leukotriene B<sub>4</sub>.
35. (Appealed) The composition of Claim 33, wherein said leukotriene is cysteinyl leukotriene.
36. (Appealed) The composition of Claim 33, wherein said cysteinyl leukotriene is selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub> and leukotriene E<sub>4</sub>.

37. (Appealed) The composition of Claim 33, wherein said microbial infection comprises *Klebsiella pneumoniae* infection.

The appealed Claims 22-25 and 27-37, as they now stand, are set forth in Appendix A (attached at Tab 1).

#### **IV. STATUS OF AMENDMENTS**

All amendments in the case have been entered.

#### **V. SUMMARY OF THE INVENTION**

Leukotrienes are potent mediators of inflammation derived from the 5-lipoxygenase pathway of arachidonic acid metabolism. The present invention contemplates the use of leukotrienes and other products of the 5-lipoxygenase pathway as an adjunct in the treatment of pneumonia and other lower respiratory tract infections.

The present inventors have determined that endogenous leukotrienes play an integral role in the host response to pulmonary infection. Even more importantly from a therapeutic standpoint, the present inventors found that exogenous leukotrienes exert pharmacologic actions which augment this response.

In one embodiment, the present invention contemplates an aerosol solution for the treatment of a microbial infection, the solution comprising a sterile liquid vehicle, an antibiotic and a leukotriene dissolved in the sterile liquid vehicle (Claim 22) where the infection might be caused by *Klebsiella pneumonia* (Claim 27, Claim 32, and Claim 37). In other embodiments, the above solution is in an intratracheal instillation device (Claim 28), or a nebulizer (Claim 33). In particular embodiments, the leukotriene is leukotriene B<sub>4</sub> (Claim 23, Claim 29, and Claim 34). In still further embodiments, the leukotriene is a cysteinyl leukotriene (Claim 24, Claim 30, and Claim 35); when the leukotriene is a cysteinyl leukotriene, it is leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, or leukotriene E<sub>4</sub> in particular embodiments (Claim 25, Claim 31, and Claim 36).

## **VI. ISSUES**

There are three issues on appeal:

- A. Whether Gosselin *et al.* is proper prior art.
- B. Whether physical composition elements (*i.e.*, an aerosol) have patentable weight.
- C. Whether a proper *Prima Facie* case of obviousness is present.
- D. Whether Claims 22-25 and 27-37 are obvious.

## **VII. GROUPING OF CLAIMS**

Each claim stands alone. Each claim has distinct limitations and must be considered independently.

Independent Claim 22 specifies a solution for the treatment of a microbial infection comprising an antibiotic and a leukotriene dissolved in a sterile liquid vehicle, wherein the solution is an aerosol. For example, this claim is not limited by the nature of the microbial infection or the types of antibiotic or leukotriene. The solution, however, is required to be an aerosol. Dependent Claims 23, 24, and 25, respectively, further specify that the leukotriene may be leukotriene B<sub>4</sub>, a cysteinyl leukotriene, or selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, and leukotriene E<sub>4</sub>. Dependent Claim 25, further specifies that at least one cause of the microbial infection results from a *Klebsellia pneumonia* infection.

Independent Claim 28 specifies a solution for the treatment of a microbial infection comprising an antibiotic and a leukotriene dissolved in a sterile liquid vehicle, wherein the solution is in an intratracheal instillation device, wherein this device is selected from the group consisting of an endotracheal tube and a bronchoscope. For example, this claim is not limited by the nature of the microbial infection or the types of antibiotic or leukotriene. The solution,



however, is required to be contained within an intratracheal instillation device. Dependent Claims 29, 30, and 31, respectively, further specify that the leukotriene may be leukotriene B<sub>4</sub>, a cysteinyl leukotriene, or selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, and leukotriene E<sub>4</sub>. Dependent Claim 32, further specifies that at least one cause of the microbial infection results from a *Klebsellia pneumonia* infection.

Independent Claim 33 specifies a solution for the treatment of a microbial infection comprising an antibiotic and a leukotriene dissolved in a sterile liquid vehicle, wherein the solution is contained within a nebulizer. For example, this claim is not limited by the nature of the microbial infection or the types of antibiotic or leukotriene. The solution, however, is required to be contained within a nebulizer. Dependent Claims 34, 35, and 36, respectively, further specify that the leukotriene may be leukotriene B<sub>4</sub>, a cysteinyl leukotriene, or selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, and leukotriene E<sub>4</sub>. Dependent Claim 37, further specifies that at least one cause of the microbial infection results from a *Klebsellia pneumonia* infection.

## VIII. ARGUMENT

### A. Gosselin *et al.* Is Not Prior Art

United States Patent No.: 5,789,441 To Gosselin *et al.* (the '441 patent), as cited by the Examiner, was filed on February 11, 1997 as a continuation-in-part of the now abandoned United States Patent Application No. 08/602,059 To Gosselin *et al.* filed 02/15/96 (the '059 application)<sup>1</sup>. The Applicants' pending divisional application has priority to United States Patent Application No. 08/757,136, filed on December 3, 1996. Clearly, the '441 patent was filed after the Applicants' '136 application. As such, the Examiner must find complete support for the present rejection in the '059 parent application.

The Examiner has not (apparently) reviewed the '059 application for support regarding the present rejection. The '059 application does not teach any aerosol or sterile solution

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<sup>1</sup> Applicants provided a copy of the '059 application to the Examiner in the *Second Final Office Action* response.

compositions. Consequently, the '441 patent's "aerosol" (Col. 11, line 31) and "sterile solution" (Col. 12, line 15) teachings do not enjoy the '059 application's priority date. Without support in the '059 application for the Applicants' claimed elements of "aerosols" and "sterile solutions" the '441 patent, therefore, is not prior art regarding the Examiner's present rejection.

**B. An Aerosol Has Patentable Weight**

The Examiner invokes legal case citations of *Union Oil*, *In re Rosicky*, *In re Riden et al.* and *In re Lerner* to support the proposition that "While the claims recite that the solution [is] aerosolized this phrase[ ] is given no patentable weight". *Third Final Office Action*, pg. 3.<sup>2</sup> The Applicants disagree. The Applicants' claimed embodiment is directed to a composition of matter comprising "an aerosol" and contains no functional language. Because "an aerosol" is not functional language the Examiner MUST give this claim element full patentable weight.

The Examiner cites *Union Oil Co. of California v. Atlantic Richfield Co.*, 208 F.3d 989, 54 USPQ.2D 227 (2000). Applicants submit the issues in *Union Oil* involve very different claim language. The claims at issue in *Union Oil* describe a composition that is "suitable for" a particular use (*i.e.*, conventional gasoline to be used in a standard automobile engine). The CCPA upheld the lower court interpretation that the term "suitable for" encompassed any standard automotive fuel and was not directed to specialty fuels (*i.e.*, aviation or racing fuels).

The term "suitable for," however, does not appear in the present claims. Indeed, there is no attempt to create patentable limitations through "intended use" language such as "suitable for". Applicants' claims specify elements - not how the elements are used. For example, certain claims require that the solution is in the form of "an aerosol." This is not "suitable for" language - the term "aerosol" properly limits the form of the solution.

Second, the Examiner cites *In re Rosicky*, 47 CCPA 859, 125 USPQ 341 (1960). The Examiner is apparently relying on the *Rosicky* Court's rendering of a "pharmaceutical carrier" as

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<sup>2</sup> The Applicants note the Examiner no longer includes "intratracheal instillation devices" as lacking patentable weight in reference to this case law. In the Examiner's Answer, the Applicants request a clarification stating that a rejection to these novel features have been withdrawn.

obvious. This decision, however, was made in the context of the **absence** of any advantages established on-the-record:

Appellant has not established by any sort of clinical data that such a quantity would be a safe or useful dosage for the treatment of any particular malady, or useful for the alleviation of specific symptoms.

*In re Rosicky* at 865. By contrast, several advantages of the proposed compositions are taught within the Applicants' specification and appear in boldface type below:

A preferred mode of administration comprises administration to the lung. Patients who are sick enough to require **mechanical ventilation** can receive treatment with pharmacologic agents administered via the endotracheal tube which is connected to the ventilator. Alternatively, **intrapulmonary delivery** of pharmacologic agents to patients not requiring mechanical ventilation can be accomplished via aerosolization. Alternatively, the agent may be administered to the lung through a bronchoscope. Of course, the therapeutic agents may be investigated for their efficacy via other routes of administration, including parenteral administration. However, when the site of infection is the lung, **targeting drug delivery thereto is likely to minimize side effects and systemic consequences.**

*Applicants' Specification*, pg 22, ln 12 - 21 [emphasis added];  
and,

To ensure **dosing limited** to the respiratory tract and to be able to **precisely quantitate** the dose administered ... *Applicants' Specification*, pg 53, ln 3 - 5. [emphasis added]

Thus, contrary to the facts of *In re Rosicky*, Applicants' specification provides the requisite evidence showing particular advantages of an aerosol. As such, the holding of *In re Rosicky* has no bearing on the present claims.

The Examiner also cites *In re Lerner*, 169 USPQ 51 (1971). Applicants submit that *Lerner* is similar to *Rosicky* and is likewise inapplicable to the present claims. Specifically, the *Lerner* decision notes that the limitation of a "carrier" in claim 4 of the particular application in question did not create a distinction over the art. However, a "carrier" is not analogous to limitations of the pending claims. A "carrier" is inert and frequently serves as nothing more than filler. By contrast, as noted above, an aerosol confers specific advantages as embodied in the presently claimed invention.

Finally, the Examiner cites *In re Riden et al.*, 138 USPQ 112 (1963). Applicants remind the Examiner that a court holding may not be asserted without a determination as to whether the holding is still valid. Applicants point out that the rationale and holding of *In re Riden et al.*, relative to an obviousness rejection based on a primary reference that does not disclose or suggest any usefulness of a claimed composition, has been overruled:

The question remains whether ... *Riden* state[s] the correct burden of proof to be imposed on an applicant for patent ... We have concluded that [it] does not. ... To the extent that ... *Riden* [is] inconsistent with the views expressed herein, they no longer will be followed, and are overruled. *In re Stemniski*, 58 CCPA 1410; 444 F2d 581, 170 USPQ 343 (1971).

Applicants argue, as detailed above, that the instant specification provides an ample showing of the advantages and usefulness for a composition comprising an aerosol. As held in *In re Stemniski*, it is not the Applicants' burden to prove a claim's non-obviousness to the Patent Office.

Thus, none of the four cases cited by the Examiner are applicable - let alone dispositive. None of the cases provides a basis or justification for ignoring the claim limitations at issue here.

**C. Claims 22-25 and 27-37 Are Not *Prima Facie* Obvious**

Even if the Examiner does not accept (improperly) that Gosselin *et al.* is not prior art, the Applicants submit that the Examiner still has not properly established the *prima facie* obviousness of the rejected claims. For example, the Examiner makes the conclusory statements:

Therefore it would have been obvious to a person having ordinary skill in the art to include an antibiotic in a solution comprising a sterile liquid and a leukotriene ..., wherein the leukotrienes is LTB4 ..., or wherein the leukotrienes is a cysteinyl leukotriene ... such as leukotrienes C4, D4 and E4 ... because Gosselin *et al.* suggests to use LTB4 with an antibacterial or antifungal agent against Gram+ and - infections, or fungal infections. *Third Final Office Action* 03/24/04 pg. 3.

The Applicants disagree because the Examiner's statements are: i) unsupported and improper; ii) bald conclusions without a factual basis; and iii) Gosselin *et al.* does not teach all the claim limitations.

The Examiner admits that Gosselin *et al.* does not teach a leukotriene/antibiotic combination:

Gosselin *et al.* do not expressly teach that to include an antibiotic to the [ ] solution comprising a sterile liquid and a leukotriene.

*Third Final Office Action*, 03/24/04 pg 3. Nevertheless, the Examiner maintains that Gosselin *et al.* is a proper 35 U.S.C. § 103(a) reference. The Applicants disagree.

For a proper rejection, each and every element within the claimed embodiment must be found in the cited art. *In re Vaeck*, 947 F.2d 488, 20 USPQ.2d 1438 (Fed. Cir. 1991); and *MPEP* § 2142; Establishing A *Prima Facie* Case Of Obviousness. The Applicants submit that Gosselin *et al.* lacks many of the claimed elements (*i.e.*, for example, aerosols, sterile liquid solutions, intratracheal instillation devices, and nebulizers). First, as noted above, the '441 patent disclosures of "a sterile liquid", and "an aerosol" (*supra*) do not enjoy the necessary priority date.

Second, the '441 makes no mention of intratracheal instillation devices (*i.e.*, for example, a bronchoscope) or a nebulizer.

In conclusion, neither the '441 patent nor the '059 application meet the legal standards to support a *prima facie* case of obviousness. Applicants, therefore, respectfully request the Examiner to withdraw the rejection.

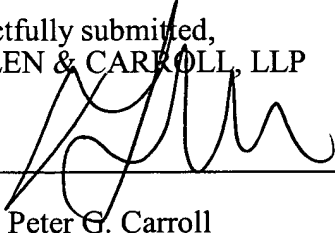
## **IX. CONCLUSION**

Appellants submit that, with due consideration to all these factors discussed above, the patentability of claims 22-25 and 27-37 is evident. First, the only reference cited by the Examiner (Gosselin *et al.*) is not prior art for several claim elements (*i.e.*, "a sterile solution" and "an aerosol". Second, the Examiner has improperly ignored claim elements that confer patentability. Third, even if the standards regarding a *prima facie* case of obviousness are applied against Gosselin *et al.*, the rejection fails.

For the foregoing reasons, it is submitted that the examiner's rejections of Claims 22-25 and 27-37 were erroneous, and reversal of these rejections is respectfully requested.

Dated: March 23, 2005

Respectfully submitted,  
MEDLEN & CARROLL, LLP

By: 

Peter G. Carroll  
Reg. No.: 32,837

Attorney for Appellant

**X. APPENDIX A: CLAIMS INVOLVED IN THE APPEAL**

22. A solution for the treatment of a microbial infection, said solution comprising a sterile liquid vehicle, an antibiotic and a leukotriene dissolved in said sterile liquid vehicle, wherein said solution is an aerosol.

23. The solution of Claim 22, wherein said leukotriene is leukotriene B<sub>4</sub>.

24. The solution of Claim 22, wherein said leukotriene is a cysteinyl leukotriene.

25. The solution of Claim 24, wherein said cysteinyl leukotriene is selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, and leukotriene E<sub>4</sub>.

27. The solution of Claim 22, wherein said microbial infection comprises *Klebsiella pneumoniae* infection.

28. A solution for the treatment of a microbial infection, said solution comprising a sterile liquid vehicle, an antibiotic and a leukotriene dissolved in said sterile liquid vehicle, wherein said solution is in an intratracheal instillation device, said instillation device is selected from the group consisting of an endotracheal tube and a bronchoscope.

29. The solution of Claim 28, wherein said leukotriene is leukotriene B<sub>4</sub>.

30. The solution of Claim 28, wherein said leukotriene is a cysteinyl leukotriene.

31. The solution of Claim 28, wherein said cysteinyl leukotriene is selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub>, and leukotriene E<sub>4</sub>.

32. The solution of Claim 28, wherein said microbial infection comprises *Klebsiella pneumoniae* infection.
33. A composition for the treatment of a microbial infection comprising, a sterile liquid vehicle, an antibiotic and a leukotriene dissolved in said sterile liquid vehicle, wherein said solution is contained within a nebulizer.
34. The composition of Claim 33, wherein said leukotriene is leukotriene B<sub>4</sub>.
35. The composition of Claim 33, wherein said leukotriene is cysteinyl leukotriene.
36. The composition of Claim 33, wherein said cysteinyl leukotriene is selected from the group consisting of leukotriene C<sub>4</sub>, leukotriene D<sub>4</sub> and leukotriene E<sub>4</sub>.
37. The composition of Claim 33, wherein said microbial infection comprises *Klebsiella pneumoniae* infection.